



DATE: August 8, 2017
TO: MIAX Options Members
FROM: MIAX Options Regulatory Department
SUBJECT: Rule Change Notice - FINRA Arbitration Rules 12100 and 13100

FINRA is proposing to amend FINRA Rule 12100 of the Code of Arbitration Procedure for Customer Disputes (“Customer Code”) and FINRA Rule 13100 of the Code of Arbitration Procedure for Industry Disputes (“Industry Code” and together, “Codes”) to define a non-public arbitrator to mean a person who is otherwise qualified to serve as an arbitrator, and is disqualified from service as a public arbitrator under the Codes. The Federal Register Notice for this proposed rule change can be found at the following location: <https://www.gpo.gov/fdsys/pkg/FR-2017-07-28/pdf/2017-15909.pdf>.

MIAX Options Rule 1107, Arbitration, incorporates by reference the rules of FINRA relating to arbitration of disputes. In accordance with the incorporation by reference of FINRA’s arbitration rules, MIAX Options is required to inform its Members of rule changes to FINRA’s arbitration rules published by the Securities and Exchange Commission.

Please direct any questions to the Regulatory Department at 609-897-7309 or Regulatory@MIAXOptions.com.